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UNITED STATES 2017 SEP 15 PSECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 SEC / TM Washington DC

14201

FORM 19b-4(e)

Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

### READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

#### Part I

## **Initial Listing Report**

- Name of Self-Regulatory Organization Listing New Derivative Securities Product: Nasdag PHLX LLC (traded pursuant to unlisted trading privileges)
- Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):

Open End Management Investment Company

3. Class of New Derivative Securities Product:

**Exchange Traded Fund** 

Name of Underlying Instrument:

MSCI Global China Infrastructure Exposure Index

17003513

- If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: **Broad-based**
- Ticker Symbol(s) of New Derivative Securities Product: **OBOR**
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:

Listed on: Bangkok, Bursa Malaysia, Hong Kong, Indonesia, Moscow, NASDAQ Stock Market LLC, NYSE, Philippine Stock Exchange, Shanghai Stock Exchange, Shenzhen, Singapore Stock Exchange, Tokyo Stock Exchange, Toronto

8. Position Limits of New Derivative Securities Product (if applicable):

Regular way trades settle on T + 3 (cash settled)

9. Position Limits of New Derivative Securities Product (if applicable): N/A

### Part II

# Execution

The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards.

Name of Official Responsible for Form:

#### Colleen Steele

Title:

# **Assistant Corporate Secretary**

Telephone Number:

301-978-8736

Manual Signature of Official Responsible for For

Section

Securities Exchange Act of 1934

Availability:

Date: September 11, 2017

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